

057 - PROBATION

Operational Summary

Mission:

Probation protects the community by conducting investigations for the court, enforcing court orders, assisting victims, and facilitating the resocialization of offenders.

At a Glance:

Total FY 2002-2003 Actual Expenditure + Encumbrance:	124,558,893
Total Final FY 2003-2004 Budget:	127,140,341
Percent of County General Fund:	5.19%
Total Employees:	1,535.00

Strategic Goals:

- Assist the Juvenile and Criminal Courts to make well-informed and responsible decisions in criminal and delinquency cases.
- Provide protection to the community by managing Orange County's adult and juvenile probation population.
- Assist crime victims by presenting their interests to the court and providing support services.

Key Outcome Indicators:

Performance Measure	2002 Business Plan Results	2003 Business Plan Target	How are we doing?
PERCENT OF COURT INVESTIGATIONS AND PROGRESS REPORTS SUBMITTED WITHIN FILING REQUIREMENTS. What: Percent of investigative and progress reports submitted within filing requirements. Why: Measures success in Probation providing timely information to the courts for appropriate decisions.	100% of 992 adult investigation reports and 97.9% of 5,323 juvenile investigation reports were submitted to the Courts within filing deadlines.	Maintain on-time completion rates of 95% or better for submitting adult and juvenile investigation reports.	The results clearly demonstrate the department's ongoing success in providing information to the courts in a timely manner.
PERCENT OF PROBATIONERS WHO DO NOT COMMIT A NEW CRIME OR LAW VIOLATION WHILE ON PROBATION. What: Percent of probationers who do not commit a new crime or law violation while on probation. Why: Measures level of community safety by identifying probationers who do not commit a new offense.	69% of 3,540 adults and 63% of 2,199 juveniles terminated formal probation, and 93% of 1,094 juveniles terminated informal probation without a new law violation in FY 01-02.	Meet or exceed a rate of 60% or better of adults and juveniles terminating formal probation, and 90% or better of juveniles terminating informal probation without committing a new crime or law violation.	The FY 01-02 findings underscore the department's continued success in protecting the community from further criminal activity by these offenders. This past year the number of adult offenders on specialized probation caseloads increased dramatically, primarily due to the implementation of Prop 36.
PERCENT OF PROBATIONERS WHO DO NOT COMMIT A VIOLENT FELONY CRIME WHILE ON PROBATION. What: Percent of probationers who complete and do not commit a violent felony crime while on probation. Why: Measures level of community safety by identifying probationers not arrested for violent crimes.	97.2% of 3,540 adults and 95.5% of 2,199 juveniles terminated from formal probation in FY 01-02 did not commit a violent crime during their probation supervision period.	Meet or exceed rates of 95% of adults and juveniles terminating formal probation without committing a violent crime while under probation supervision.	The results support the success of the department's efforts in protecting the community from the most violent of criminal acts.

Key Outcome Indicators: (Continued)

Performance Measure	2002 Business Plan Results	2003 Business Plan Target	How are we doing?
PERCENT OF PROBATIONERS EMPLOYED OR IN SCHOOL FOR FIVE MONTHS OR MORE IN THE PAST 12 MONTHS. What: Percent of probationers employed or in school consistently or (for adults) at least 5 months. Why: Gainful employment and/or regular school attendance indicate successful progress of offenders.	64% of 8,242 adult probationers and 58% of 3,814 juvenile probationers in FY 01-02 were either employed or attending school regularly for a significant period while under probation supervision.	Meet or exceed a 60% rate of adult probationers and 55% rated of juvenile probationers who are employed or attending school regularly for a significant period.	It is encouraging to see that results for adults and juveniles exceed target. However, the results for adults and juveniles are slightly below the prior year's results, possibly reflecting the overall economy as well as the impact of Prop 36 cases. The department will monitor over time for action.
PERCENT OF IMPROVEMENT IN OFFENDERS FUNCTIONING & LIFE-SKILLS ABILITIES AFTER ONE YEAR ON PROBATION. What: Percent of improvement based on standardized assessments at intake and after one year on probation. Why: Measures effectiveness in addressing probationer's needs during their first year on probation.	Of 1,339 adults and 503 juveniles assessed in FY 01-02, 56% of adults and 59% of juveniles demonstrated some improvement in total functioning. 33% of adults and 28% of juveniles had enough improvement to reduce their need classification to a lower level.	Meet or exceed the prior year's results and establish an appropriate target based on three years of results for this measure.	Baseline results indicate the majority of offenders make progress during their first year on probation. The department is still establishing what the meaningful 'normal' range is. Over one-third progressed sufficiently to lower their need classification by the end of their first year on probation.
PERCENTAGE OF COURT-ORDERED RESTITUTION PAID BY PROBATIONERS TO CRIME VICTIMS. What: Measures the percentage of court-ordered restitution paid in full in closed restitution cases. Why: Measures Probation's success in collecting restitution for crime victims.	Of 899 adult offender cases closed in FY 01-02, in 58% of the cases the victim was paid in full with a total of \$2,547,477 paid to victims in restitution. Of 615 juvenile cases closed, in 78% of the cases the victim was paid in full and a total of \$345,125 was paid to victims.	Meet or exceed the prior years' results.	Over half of adult cases and over three quarters of juvenile cases with victim restitution closed with the victim having been fully compensated financially.
VICTIM RATINGS OF SATISFACTION RELATIVE TO THE QUALITY AND MANNER OF PROBATION SERVICES PROVIDED. What: Survey regarding victim satisfaction with the quality and manner of department services provided. Why: Measures victim satisfaction with services provided by the Probation department.	Surveys were mailed to 1,105 victims owed restitution or contacted for intake/investigations. Of the 176 respondents, 53% were satisfied with services, 31% were dissatisfied. In addition, 45% of all respondents requested further information.	Meet or exceed the prior years' results.	The 2002 victim survey results revealed modest improvements in several areas. Courtesy of the staff was the specific area rated highest in satisfaction. Findings from surveys are being used to enhance victim services, such as the addition of a toll-free number dedicated to victims (866.843.9334).

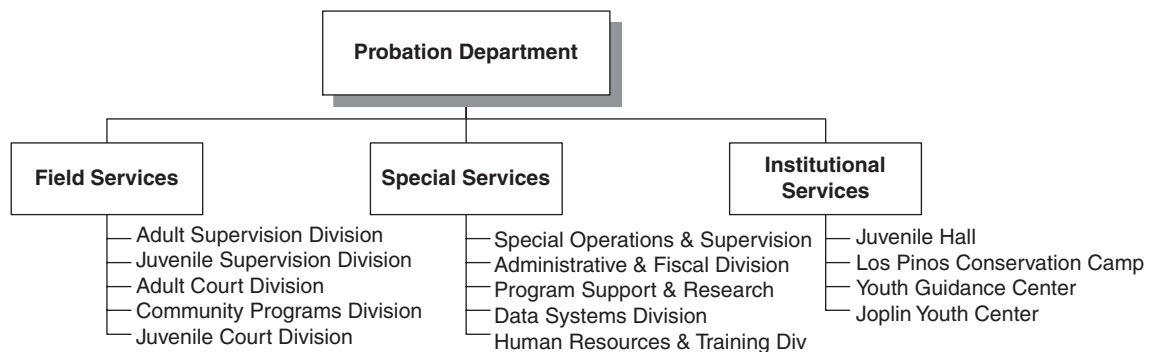
Fiscal Year FY 2002-2003 Key Project Accomplishments:

- During 2002, the Probation Department started a planning process with the ultimate long-term objective of developing an Integrated Case Management system (ICM). ICM will be a seamless process in which information collected at every point in the department will be captured in one automated system that will provide a unified case record available to staff at all times.
- A Succession Planning work Group was formed to address the potential loss of experienced peace officers due to the implementation of Safety Retirement benefits. As a result, the following actions were implemented during 2002:
- Recruitments for key peace officer positions were conducted in order to have eligible lists available when Safety Retirement was established.
- To prepare for anticipated Deputy Probation Officer vacancies, 32 staff who were promoted to Deputy Probation Officer completed core training and were deployed to critical assignments prior to the implementation of Safety Retirement.

- Many promotions/assignments were announced in advance to provide for overlap training to newly appointed supervisors.
- Throughout 2002, the department continued to recruit, hire and train qualified staff for critical positions within all service areas. These efforts resulted in 32 staff promotions to Deputy Probation Officer, the hiring of two experienced Deputy Probation Officers from an adjacent county, and the hiring of 60 Deputy Probation Counselors and 99 Probation Night Counselors. Four New Employee Orientation sessions were conducted in 2002 for 50 new professional staff. A total of 29 newly promoted peace officers and professional supervisory staff completed 80-hour Supervisory Core training classes during the fall of 2001 and spring of 2002. It is important to note that the department is continually measuring and balancing the concurrent critical staffing needs with our fiscal commitment to stay within available funding; see also the "Staffing Trend Highlights" section, below.
- The Juvenile Drug Court collaborative was strengthened during 2002. Through collaboration with the Health Care Agency, services to juveniles were expanded. Public Health Nurses now provide in-home health supervision for pregnant juveniles in the program and conduct group sessions on such health-related topics as sexually transmitted diseases, smoking, etc. Expanded services have also been provided through Aspen Solutions Counseling, Chapman's Positive Action Center, Alcohol and Drug Abuse Services, and the addition of interns through the Health Care Agency.
- Probation worked closely with the key stakeholders in the County on numerous committees to constantly evaluate the impact of Proposition 36/PC 1210 and to implement policies that provide for the most efficient use of limited resources. Working closely with the courts and Health Care Agency, Probation has looked for grants and funding opportunities to offset the resources depleted from other programs by Proposition 36 cases. Internally, a Workload Issues Group was formed to examine workload duties and develop options to offset the increased caseloads due to Proposition 36 cases. It was determined that specialized Proposition 36 caseloads were more efficient. Most workload issues were addressed through the evaluation of staffing between units, redeployment of staff, and workload adjustments between divisions. However, with 46% of all new adult probation cases being Proposition 36 cases, it is likely the need to constantly reevaluate the use of existing resources will continue.
- The Repeat Offender Prevention Project (ROPP), a five-year formal evaluative study funded by the state ROPP grant, concluded on June 30, 2002, and the final report of findings was submitted to the Board of Corrections on October 1, 2002. Many significant positive findings were cited, and the department will continue with the program under State Juvenile Justice Crime Prevention Act (JJCPA) funding in order to determine future strategies and program enhancements.
- The Decentralized Intake Project was initiated during 2002 as a collaborative effort among Probation, the Orange County Sheriff's Department, and Pepperdine University. The Project provides immediate prevention services at the local community level in Orange County areas served by the Sheriff.
- The new Adult Intake System development continues. The initial phase of this project will be the implementation of the photo capture of new adult cases.
- Lacy Juvenile Annex, the only co-located juvenile hall within a jail in the state, received a visit from the federal Office of Juvenile Justice and Delinquency Prevention and will be included in an upcoming publication as a model program.
- The federal Special Use Permit for the Los Pinos Conservation Camp in the Cleveland National Forest was extended through June 2003. Construction to renovate the Camp began in March 2003.
- Probation has protected the \$8.4 million grant awarded by the Board of Corrections to construct additional beds for a leadership academy.
- Additional resources were made available for seriously emotionally disturbed children in the community. The Children's System of Care program provides a multi-agency team to work with seriously emotionally disturbed children and their families, and the wraparound program provides services and some flexible funding for maintaining these children in their own homes. However, the need still exists for specialized institutional treatment beds for this population.

- The services provided to victims by the newly created central Victim Services Coordinator (VSC) position were expanded. Examples follow:
- An 800 number for victims was established and is answered by the VSC. The VSC responds to telephone requests from victims regarding case of judicial system information and directs calls to the appropriate deputy/supervisor or financial officer, as needed. This number is provided on all correspondence with victims (victim impact letters, court disposition letters, victim surveys, etc).
- Staff awareness, knowledge and sensitivity regarding crime victims were increased through training. Approximately 600 deputized staff attended "Restitution for Victims" training with the State Victims Compensation Board, which was arranged and coordinated by the VSC.
- Surveys were mailed to nearly 1,200 crime victims in October 2002. Results are reported in the Outcome Indicator section of the Department's 2003 Business Plan.

Organizational Summary



FIELD SERVICES - Provides services through five distinct operational divisions: Juvenile Court, Adult Court, Adult Supervision, Juvenile Supervision, and Community Programs. The Juvenile Court Division provides intake screening services for all juveniles referred by law enforcement agencies for alleged violations of the law, conducts preliminary investigations to determine if further referrals to the District Attorney and Court are necessary, provides Juvenile Court Officers to the Juvenile Court, conducts investigations for the Juvenile Court, administers peer court and drug court, and monitors diversion and administrative cases. The Adult Court Division conducts investigations for the criminal courts and monitors Courtesy Supervision and Welfare Fraud cases. The Adult Court Division also supplies Resident Probation Officers to the five justice centers.

The Adult Supervision and Juvenile Supervision Divisions supervise adult and juvenile offenders in the community on formal probation. These divisions enforce court orders and assist with the resocialization of offenders through a combination of direct and supportive actions based on ensuring community safety, addressing offender accountability, and promoting competency building in those adults and juveniles under supervision.

The Community Programs Division provides services for first-time juvenile offenders classified as having a high-risk potential for ongoing delinquency (8% Early Intervention Program) and transitional aftercare services for juveniles released from county correctional facilities (JJCPA and Challenge Programs). The Community Programs Division is responsible for the department's four continuing Youth and Family Resource Centers.

SPECIAL SERVICES - Provides primary support services for the department's overall operation through five operational divisions: 1) Administrative and Fiscal, 2) Program Support and Research, 3) Data Systems, 4) Human Resources and Training, and 5) Special Operations and Supervision. Provides data system and research support, human resource services, administrative and fiscal services and collection enforcement for all functions in the department. Supports long-range planning, pursuit of outside funding, legislative analysis, contract administration, community resource monitoring, employee recruitment and hiring, and operation of the Volunteers in Probation (VIP), Volunteer Probation Officer (VPO), Probation Community Action Association (PCAA) programs. The Special Operations and Supervision Division supervises three sub-populations of high risk offenders: domestic violence batterers, adult sex offenders, and gang members.

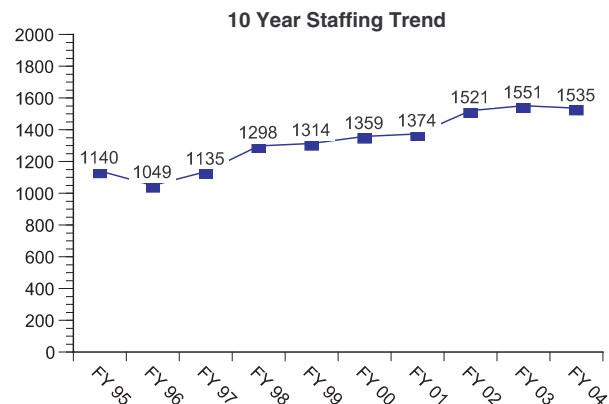
INSTITUTIONAL SVCS - Provides oversight and direction for the five county juvenile correctional facilities operated by the Probation Department: Los Pinos Conservation Camp, Joplin Youth Center, Youth Guidance Center, Juvenile Hall, and Lacy Juvenile Annex. These facilities operate 24-hours-per-day, 7-days-a-week and must meet stringent guidelines established by the California Board of Corrections. Primary responsibilities include providing a safe environment for the juveniles in custody, ensuring sufficient well-trained staff are available, developing a broad range of treatment programs to meet the juveniles' needs, adhering to all laws/regulations/licensing requirements for correctional facilities, and overseeing correctional facility maintenance and development.

In addition to the facilities, programs are provided that offer alternatives to confinement. The Juvenile Court Work Program allows offenders to work on weekend work crews in lieu of serving a commitment. The Accountability Commitment Program allows offenders to be released home on electronic confinement to a day-treatment program. The Independent Living Program is a co-ed day-reporting vocational training program.

CHIEF PROBATION OFFICER - Oversees the overall direction, administration, and coordination of the operations and programs of the Probation Department including the County's juvenile correctional institutions. Coordinates the operation of all Probation Department programs and services: directs and consults with the three Chief Deputies of

Institutional Services, Field Services, and Special Services in assigning projects and developing goals for their various divisions; develops and maintains effective working relationships with other social and law enforcement agencies, public officials, the judiciary, and community organizations to assess needs, develop priorities and maintain efficient/effective services; consults with the Board of Supervisors, County Executive Office, and Courts for policy direction and guidance; and provides fiscal oversight of the department's budget and expenditures.

Ten Year Staffing Trend:



Ten Year Staffing Trend Highlights:

- The Probation Department staff expanded from FY 97 to FY 04 primarily as a result of the following:
- Opening of new 60-bed unit at Juvenile hall.
- Opening of the Juvenile Hall Annex.
- New or expanded programs arising from the availability of new, non- General Fund sources.
- Assumption of decentralized County services.
- Conversion of extra help positions to regular, full-time in order to ensure compliance with the Probation Services MOU and its limited duration requirements for extra help personnel.
- In FY 02-03, it was incumbent upon the Probation Department to maintain 119 position vacancies throughout the year in order to operate within its authorized funding level. With cost increases expected to outpace available financing in FY 03-04, Probation will need to keep 152 positions vacant throughout the coming fiscal year.

Budget Summary

Plan for Support of the County's Strategic Priorities:

In order to meet its Net County Cost target for the current 02-03 fiscal year, the Probation Department was required to reduce its budget by \$4.7 million, which was accomplished without significantly impacting services to the public. Further, to help close an anticipated five-year structural gap in Fund Balance Available, Probation's FY 02-03 Net County Cost budget was reduced by an additional \$544,000 as part of the County's Step 1 Strategic Financial Plan approach.

The Probation Department will be actively engaged in the expansion of the Los Pinos Conservation Camp and addition of the Rancho Potrero Leadership Academy (which were adopted by the Board of Supervisors as Strategic Priorities in 1998), and will continue to aggressively pursue revenue off-sets for these projects where available.

Other approved strategic priorities that are accommodated within the FY 2003-04 Baseline Budget include additional detention beds for older youths and the opening of a new Youth and Family Resource Center on the site of the former USMCAS El Toro, both of which are funded by the Juvenile Justice Crime Prevention Act.

Additionally, the Probation Department continues to participate in a revenue maximization work plan, pursuant to a State Master Services Agreement that was approved by the Board of Supervisors for Federal revenue recovery services. As a result of this effort, it is anticipated that an additional \$200,000 in Federal Title XIX (Medi-Cal Administration) revenues will accrue to this department in FY 03-04.

The Probation Department continues to accept leadership roles on a Statewide basis to help facilitate County goals. The Chief Probation Officer will also continue to take an active role in supporting the Chief Probation Officers of California in the related pursuit of new revenue and the protection of existing revenue resources.

The Probation Department will convene all managers to begin planning for the FY 2004-05 budget cycle. A review of existing programs will continue in order to determine if there are any that are no longer effective and should be curtailed or eliminated.

The Probation Department will continue to aggressively pursue new funding sources to support probation services. Related thereto, it is anticipated that all Probation Department fees will be updated annually and presented to the Board for adoption at the onset of each new fiscal year.

Changes Included in the Base Budget:

At existing service levels, Probation's budgetary requirements would exceed its funding apportionment by \$10.4 million in FY 03-04, due primarily to significant increases being anticipated in pension, insurance and workers' compensation costs, and diminished State revenues. In order to avoid burdening the County's general fund to this additional extent, the Probation Department had little choice but to reduce non-mandated and non-core services where it was most prudent to do so. Due to an early recognition of this possibility, Probation was able to develop and implement a service reduction strategy that should be fully in place by the start of the new fiscal year, realize cost savings of \$7.6 million in FY 03-04 and minimize, if not avoid, employee lay-offs. Other measures employed to achieve the balance of the \$10.4 million needed in cost savings included the following:

- maintaining extra help and overtime funding at current-year expenditure levels;
- restricting annual leave, sick leave and vacation payouts;
- reducing the funding required for the cost of minors being committed by the Juvenile Court to the California Youth Authority; and
- implementing, where feasible, cost savings suggestions emanating from Labor/Management Committee collaborations.

Final Budget and History:

Sources and Uses	FY 2001-2002 Actual Exp/Rev	FY 2002-2003 Budget As of 6/30/03	FY 2002-2003 Actual Exp/Rev ⁽¹⁾ At 6/30/03	FY 2003-2004 Final Budget	Change from FY 2002-2003 Actual	
					Amount	Percent
Total Positions	-	1,535	1,535	1,535	0	0.00
Total Revenues	50,070,148	47,888,393	50,505,135	46,062,419	(4,442,716)	-8.80
Total Requirements	114,839,081	126,569,302	126,113,018	127,140,341	1,027,323	0.81
Net County Cost	64,768,933	78,680,909	75,607,883	81,077,922	5,470,039	7.23

(1) Amounts include prior year expenditures and exclude current year encumbrances. Therefore, the totals listed above may not match Total FY 2002-03 Actual Expenditure + Encumbrance included in the "At a Glance" section.

Detailed budget by expense category and by activity is presented for agency: Probation in the Appendix on page 480.

Highlights of Key Trends:

- The following four Department-wide strategies illustrate how Probation is focusing its increasingly constrained resources on key areas to maximize services provided to the community.
- (1) Pursue revenue sources and legislative remedy to support programs without reliance on County general funds. Currently in its second year, the \$20 million in two-year funding from the Juvenile Justice Crime Prevention Act (JJCPA) is an excellent example of such external revenue.
- (2) Resources permitting, continue the number of automation and other technological advances that are underway which help the Probation Department improve the way it conducts business.
- (3) Develop an Integrated Case Management System that utilizes the advancement in technology and business practices to integrate client information into on automated case file.
- (4) Continue the successful efforts to aggressively recruit, hire and train qualified staff for critical positions within all service levels (while remaining cognizant of the delicate balance with our vacancy factor requirement), and continue to increase the number of volunteers to augment services performed by Probation staff.
- One area where inadequate provisions exist in our FY 03-04 budget is for our Proposition 36 caseload. This fastest-growing segment of our probation population now comprises over 25% of the total adults under formal probation supervision. Accordingly, our single Budget Augmentation Request for FY03-04 is a proposal to provide funding and positions for three additional supervision units and appropriate clerical, research and financial support staff to address the Prop 36 workload. This workload has surpassed 4,000 active supervision cases, with another 1,100 outstanding arrest warrants that may re-enter the system at any time. This remains an important strategic priority for the Probation Department.
- Our Labor Management Committee continues to add value to the department. Members received six workplace issues during calendar year 2002. A recommendation to resolve one issue was accepted by the LMC co-sponsors (Chief Probation Officer and OCEA). The committee has continued researching the five remaining issues in order to determine an appropriate resolution.
- Aging physical plant issues in our institutions continue to challenge the department fiscally and operationally. Twenty new capital projects were requested by the Probation Department and four were recommended for funding in FY 03-04 by CEO staff. Juvenile Institutional construction projects are moving forward in three venues:
 - (1) Los Pinos 32-bed Expansion
 - (2) Juvenile Hall 60-Bed Expansion (Unit Q)
 - (3) Youth Leadership Academy (formerly the Rancho Potrero Leadership Academy)

Budget Units Under Agency Control

No.	Agency Name	Field Services	Special Services	Institutional Svcs	Chief Probation Officer	Total
057	Probation	46,744,954	31,223,628	48,830,700	341,059	127,140,341
14R	Ward Welfare	0	0	246,178	0	246,178
	Total	46,744,954	31,223,628	49,076,878	341,059	127,386,519